

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: UT-Battelle, LLC

Application No./Patent No.: 10/673,716 Filed/Issue Date: 9/29/2003

Entitled: Multi-Purpose Multi-Function Surface-Tension Microfluidic Manipulator

UT-Battelle, LLC

(Name of Assignee)

, a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest
(The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014785, Frame 0782, or for which a copy therefore is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Judson R. Hightower/

Signature

9/10/2008

Date

Judson R. Hightower

Printed or Typed Name

865.576.3767

Telephone Number

IP Managing Attorney

Title



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



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JUNE 28, 2004

PTAS

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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/28/2004

REEL/FRAME: 014785/0782
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

THUNDAT, THOMAS G.

DOC DATE: 09/22/2003

ASSIGNOR:

FARAH, RUBY H.

DOC DATE: 09/22/2003

ASSIGNOR:

FERRELL, THOMAS L.

DOC DATE: 09/22/2003

ASSIGNOR:

HU, ZHIYU

DOC DATE: 09/22/2003

ASSIGNEE:

UT-BATTELLE, LLC
ONE BETHEL VALLEY ROAD
P.O. BOX 2008, MS 6498
OAK RIDGE, TENNESSEE 37831-6258

014785/0782 PAGE 2

SERIAL NUMBER: 10673716

FILING DATE: 09/29/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: MULTI-PURPOSE MULTI-FUNCTION SURFACE-TENSION MICROFLUIDIC
MANIPULATOR

MARCUS KIRK, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

ASSIGNMENT

WHEREAS, we the below-named inventors whose residence and post office are as stated below, have invented certain new and useful improvements in an

Multi-Purpose Multi-Function Surface-Tension Microfluidic Manipulator

(hereinafter referred to as "Subject Invention") for which an application for United States Letters Patent was executed by us on even date herewith, and

WHEREAS, UT-BATTELLE, LLC, a limited liability company of the State of Tennessee, having an office at 111-B Union Valley Road, P. O. Box 2008, Oak Ridge, Tennessee 37831-6498, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest of the undersigned in the Subject Invention and to any Letters Patent that may be granted therefor in the United States of America and in any and all foreign countries.

NOW, THEREFORE, in accordance with the terms of our employment agreement with ASSIGNEE and for good and valuable consideration, the receipt of which is hereby acknowledged, we hereby assign to ASSIGNEE our entire right, title and interest in the Subject Invention to all rights of priority thereto pursuant to the International Convention for the Protection of Industrial Property, and in any Letters Patent on the Subject Invention that may be granted in the United States of America and in any and all foreign countries, including any and all Letters Patent that are divisions, reissues, continuations, substitutions or extensions of any Letters Patent or applications therefor on the Subject Invention.

We hereby authorize and request the Commissioner of the United States Patent and Trademark Office and the officials of any and all foreign countries to issue any and all of said Letters Patent, when granted, to the ASSIGNEE.

Further, we hereby agree to communicate to said ASSIGNEE or its representatives any facts known to us respecting said Subject Invention, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitution, renewal and reissue applications, to execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, and to make all rightful oaths and generally do everything possible to aid said ASSIGNEE and its representatives to obtain and enforce proper protection for said Subject Invention in the United States of America and in any and all foreign countries.

We further agree that the terms, covenants and conditions of this assignment shall inure to the benefit of ASSIGNEE, its successors, assigns, and legal representatives, and shall be binding on us, our heirs, legal representatives, and assigns.

Full name of inventor: Thomas G. Thundat

Signature:  Date: Sept. 22, 2003

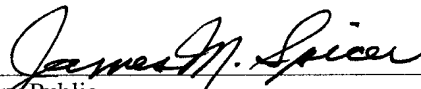
Residence: Knoxville, Tennessee

Post Office Address: 616 Plainfield Road, Knoxville, Tennessee 37923

State of Tennessee)
County of Roane)

On this 22 day of September, 2003, before me, a Notary Public in and for the County and State aforesaid, appeared Thomas G. Thundat to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.


Notary Public

SEAL
My Commission Expires: August 16, 2004

Full name of inventor: Rubye H. Farahi

Signature: Ruby H. Farahi Date: Sept. 22, 2003

Residence: Oak Ridge, Tennessee

Post Office Address: 104 Briarwood Drive, Oak Ridge, Tennessee 37830

State of Tennessee)

County of Roane)

On this 22 day of September, 2003, before me, a Notary Public in and for the County and State aforesaid, appeared Ruby H. Farahi to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

James M. Spicer
Notary Public

SEAL

My Commission Expires: August 16, 2004

Full name of inventor: Thomas L. Ferrell

Signature: *Thomas L. Ferrell* Date: *Sept. 22, 2003*

Residence: Knoxville, Tennessee

Post Office Address: 1100 Hickory Trail, Knoxville, Tennessee 37932

State of Tennessee)
County of *Roane*)

On this *22* day of *September*, 20*03*, before me, a Notary Public in and for the County and State aforesaid, appeared Thomas L. Ferrell to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

James M. Spicer
Notary Public

SEAL
My Commission Expires: *August 16, 2004*

Full name of inventor: Zhiyu Hu

Signature: [Signature] Date: 9/22/2003

Residence: Knoxville, Tennessee

Post Office Address: 1611 Laurel Ave., Apt. 1015, Knoxville, Tennessee 37916

State of Tennessee)
County of Roane)

On this 22 day of September, 2003, before me, a Notary Public in and for the County and State aforesaid, appeared Zhiyu Hu to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

James M. Spicer
Notary Public

SEAL
My Commission Expires: August 16, 2004